

12- 26-00 A

**UTILITY PATENT APPLICATION TRANSMITTAL**  
**(Large Entity)**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.  
END920000047US1Total Pages in this Submission  
4jc821  
12/21/00  
U.S. PTOc874 U.S. PTO  
09/74430  
12/21/00**TO THE ASSISTANT COMMISSIONER FOR PATENTS**Box Patent Application  
Washington, D.C. 20231

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for an invention entitled:

**HIERARCHICAL CONNECTED GRAPH MODEL FOR IMPLEMENTATION  
OF EVENT MANAGEMENT DESIGN**

and invented by:

James A. Riosa  
Andrew N. Naiberg

If a CONTINUATION APPLICATION, check appropriate box and supply the requisite information:

 Continuation    Divisional    Continuation-in-part (CIP)   of prior application No.: \_\_\_\_\_

Which is a:

 Continuation    Divisional    Continuation-in-part (CIP)   of prior application No.: \_\_\_\_\_

Which is a:

 Continuation    Divisional    Continuation-in-part (CIP)   of prior application No.: \_\_\_\_\_

Enclosed are:

**Application Elements**

1.  Filing fee as calculated and transmitted as described below
2.  Specification having 69 pages and including the following:
  - a.  Descriptive Title of the Invention
  - b.  Cross References to Related Applications (*if applicable*)
  - c.  Statement Regarding Federally-sponsored Research/Development (*if applicable*)
  - d.  Reference to Microfiche Appendix (*if applicable*)
  - e.  Background of the Invention
  - f.  Brief Summary of the Invention
  - g.  Brief Description of the Drawings (*if drawings filed*)
  - h.  Detailed Description
  - i.  Claim(s) as Classified Below
  - j.  Abstract of the Disclosure

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END920000047US1

Total Pages in this Submission  
4

**Application Elements (Continued)**

3.  Drawing(s) (*when necessary as prescribed by 35 USC 113*)  
a.  Formal Number of Sheets 8  
b.  Informal Number of Sheets \_\_\_\_\_
4.  Oath or Declaration  
a.  Newly executed (*original or copy*)  Unexecuted  
b.  Copy from a prior application (37 CFR 1.63(d)) (*for continuation/divisional application only*)  
c.  With Power of Attorney  Without Power of Attorney  
d.  DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application,  
see 37 C.F.R. 1.63(d)(2) and 1.33(b).
5.  Incorporation By Reference (*usable if Box 4b is checked*)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under  
Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby  
incorporated by reference therein.
6.  Computer Program in Microfiche (*Appendix*)
7.  Nucleotide and/or Amino Acid Sequence Submission (*if applicable, all must be included*)  
a.  Paper Copy  
b.  Computer Readable Copy (*identical to computer copy*)  
c.  Statement Verifying Identical Paper and Computer Readable Copy

**Accompanying Application Parts**

8.  Assignment Papers (*cover sheet & document(s)*)
9.  37 CFR 3.73(B) Statement (*when there is an assignee*)
10.  English Translation Document (*if applicable*)
11.  Information Disclosure Statement/PTO-1449  Copies of IDS Citations
12.  Preliminary Amendment
13.  Acknowledgment postcard
14.  Certificate of Mailing

First Class  Express Mail (*Specify Label No.:*) EL598673197US

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Total Pages in this Submission  
4

**Accompanying Application Parts (Continued)**

15.  Certified Copy of Priority Document(s) *(if foreign priority is claimed)*
16.  Additional Enclosures *(please identify below):*

**Request That Application Not Be Published Pursuant To 35 U.S.C. 122(b)(2)**

17.  Pursuant to 35 U.S.C. 122(b)(2), Applicant hereby requests that this patent application not be published pursuant to 35 U.S.C. 122(b)(1). Applicant hereby certifies that the invention disclosed in this application has not and will not be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication of applications 18 months after filing of the application.

**Warning**

*An applicant who makes a request not to publish, but who subsequently files in a foreign country or under a multilateral international agreement specified in 35 U.S.C. 122(b)(2)(B)(i), must notify the Director of such filing not later than 45 days after the date of the filing of such foreign or international application. A failure of the applicant to provide such notice within the prescribed period shall result in the application being regarded as abandoned, unless it is shown to the satisfaction of the Director that the delay in submitting the notice was unintentional.*

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Docket No.  
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 4

**Fee Calculation and Transmittal**

**CLAIMS AS FILED**

For	#Filed	#Allowed	#Extra	Rate	Fee
Total Claims	100	- 20 =	80	x \$18.00	\$1,440.00
Indep. Claims	6	- 3 =	3	x \$80.00	\$240.00
Multiple Dependent Claims (check if applicable)					\$0.00
				<b>BASIC FEE</b>	<b>\$710.00</b>
OTHER FEE (specify purpose)					\$0.00
				<b>TOTAL FILING FEE</b>	<b>\$2,390.00</b>

- A check in the amount of \_\_\_\_\_ to cover the filing fee is enclosed.
- The Commissioner is hereby authorized to charge and credit Deposit Account No. **09-0457** as described below. A duplicate copy of this sheet is enclosed.
- Charge the amount of **\$2,390.00** as filing fee.
  - Credit any overpayment.
  - Charge any additional filing fees required under 37 C.F.R. 1.16 and 1.17.
  - Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b).

Dated: **12/4/2000**

*Signature*

Arthur J. Samodovitz, Reg. No: 31,297  
 IBM Corp., N50/040-4  
 1701 North Street  
 Endicott, NY 13760

CC:

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): James A. Riosa et al.

Docket No.

END920000047US1

Serial No.  
N/AFiling Date  
HerewithExaminer  
N/AGroup Art Unit  
N/AInvention: **HIERARCHICAL CONNECTED GRAPH MODEL FOR IMPLEMENTATION OF EVENT MANAGEMENT DESIGN**jc47 U.S.P.T.O.  
09/747439

12/21/00

I hereby certify that the following correspondence:

**New patent application and IDS with references**

(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under

37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

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(Date)**Denise M. Jurik**

(Typed or Printed Name of Person Mailing Correspondence)

(Signature of Person Mailing Correspondence)

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Note: Each paper must have its own certificate of mailing.

APPLICATION  
FOR  
UNITED STATES LETTERS PATENT

APPLICANT(S) NAME: J. A. Riosa et al.

TITLE: HIERARCHICAL CONNECTED GRAPH MODEL FOR  
IMPLEMENTATION OF EVENT MANAGEMENT DESIGN

DOCKET NO. END920000047US1

INTERNATIONAL BUSINESS MACHINES CORPORATION

**Certificate of Mailing Under 37 CFR 1.10**

I hereby certify that, on the date shown below, this correspondence is being deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C., 20231 as "Express Mail Post Office to Addressee".

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Typed or Printed Name of Person Mailing Correspondence

Denise M. Jurik  
Signature of Person Mailing Correspondence

12/21/00  
Date